



DECLARATION FOR PATENT APPLICATION

As the below-named inventors, we hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled NUCLEIC ACID ENCODING PROTEINS INVOLVED IN PROTEIN DEGRADATION, PRODUCTS AND METHODS RELATED THERETO, the specification of which

_____ is attached hereto as Attorney Client-Matter No. _____).

 X was filed on October 2, 2003, as Application Serial No. 10/679,246
(Attorney Client-Matter No. 66821-235)

and was amended on (or amended through) _____.
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to myself to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56.

Under Sec. 1.56, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or (2) It refutes, or is inconsistent with, a position the applicant takes in: (I) Opposing an argument of unpatentability relied on by the U.S. Patent and Trademark Office, or (ii) Asserting an argument of patentability.

Inventors: Reed and Matsuzawa
Serial No.: 10/679,246
Filed: October 2, 2003
Page 2

I hereby claim the benefit under Title 35, United States Code, §119(e) of the United States application listed below.

Further, I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

Application No.	Filing Date	Status
09/591,694	June 9, 2000	Issued
60/367,334	June 11, 1999	Abandoned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventors: Reed and Matsuzawa
Serial No.: 10/679,246
Filed: October 2, 2003
Page 3

Full name of first inventor: John C. Reed

Inventor's signature:

Date:

2/24/04

Residence:

Rancho Santa Fe, California

Citizenship:

United States of America

Mailing Address:

17044 El Camino Real
Rancho Santa Fe, California 92067

Full name of second inventor:

Shu-ichi Matsuzawa

Inventor's signature:

Date:

2/23/04

Residence:

San Diego, California

Citizenship:

Japan

Mailing Address:

9030 January Place
San Diego, California 92122



PATENT

Client-Matter No.: 66821-235

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of)
Reed and Matsuzawa)
Serial No.: 10/679,246)
Filed: October 2, 2003)
For: NUCLEIC ACID ENCODING)
PROTEINS INVOLVED IN)
PROTEIN DEGRADATION,)
PRODUCTS AND METHODS)
RELATED THERETO)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

SMALL ENTITY STATEMENT

The U.S. Patent and Trademark (USPTO) permits parties that establish status as a Small Entity to pay certain reduced fees (all citations to 37 C.F.R. § 1.27 except as noted). To be entitled to Small Entity Status, a party must be at least one of the following:

(1) Individual person:

An individual person, including an inventor and persons to whom an inventor has transferred some rights in the invention. § 1.27(a)(1).

(2) Small business concern:

A business concern whose number of employees, including affiliates, does not exceed 500 persons. § 1.27(a)(2) (incorporating 13 C.F.R. § 121.802).

“Business concern” means individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative. If the concern is a joint venture, participation by foreign business entities may not be more than 49%. 13 C.F.R. § 121.105.

Inventors: Reed and Matsuzawa
Serial No.: 10/679,246
Filed: October 2, 2003
Page 2

The “number of employees” is the average number of employees, including the employees of its domestic and foreign affiliates, based on numbers of employees for each of the pay periods for the preceding completed 12 calendar months. “Employees” includes all individuals employed on a full-time, part-time, temporary, or other basis. Part-time and temporary employees are counted the same as full-time employees. If a concern has not been in business for 12 months, use the average number of employees for each of the pay periods it has been in business. 13 C.F.R. § 121.106.

Concerns are “affiliates” of each other when one concern directly or indirectly controls or has the power to control the other, or when a third party or parties controls or has the power to control both concerns. 13 C.F.R. § 121.103(a).

(3) Nonprofit organization:

A university or other institution of higher education located in any country. § 1.27(a)(3) (ii)(A).

An organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from taxation under section 501(a). Also included are such organizations located in a foreign country that would qualify if it were located in this country. § 1.27(a)(3)(ii)(B),(D).

A nonprofit scientific or educational organization qualified under a nonprofit organization statute of a U.S. state. Also included are such organizations located in a foreign country that would qualify if it were located in this country. § 1.27(a)(3)(ii)(C),(D).

Please note that a license to the Government resulting from a rights determination under Executive Order 10096 does not constitute a license that would prohibit claiming Small Entity Status. Similarly, for small business concerns and nonprofit organizations, a license to a Federal agency resulting from a funding agreement with that agency under 35 U.S.C. § 202(c)(4) is not a license that would prohibit claiming Small Entity Status. § 1.27(a)(4).

I hereby assert that I am empowered to sign on behalf of the party identified below (“Party”). Persons empowered to sign include, but are not limited to, an inventor him- or herself or an authorized officer of an assignee or licensee. See § 1.27(c)(2).

Inventors: Reed and Matsuzawa
Serial No.: 10/679,246
Filed: October 2, 2003
Page 3

I have made a determination of the Party's entitlement to Small Entity Status, including a determination that all parties holding rights in the invention qualify for Small Entity Status. § 1.27(f).

I hereby assert that the Party has not assigned, granted, conveyed or licensed--and is under no obligation under contract or law to do so--any rights in the invention to any other party that would not qualify as a Small Entity. Separate assertions of Small Entity Status should be obtained from each party having rights to the invention.


I hereby assert that the Party is entitled to be accorded Small Entity Status by the USPTO for the application or patent identified above. § 1.27(c)(1).

I understand that Small Entity Status must be newly determined when the issue fee and each maintenance fee is due. If there is any change resulting in loss of entitlement to Small Entity Status, I acknowledge the duty to file a notification to the USPTO in this application or patent before or upon paying the fee. § 1.27(g).

I understand that Small Entity Status must be separately established in any related application, including continuation, divisional, continuation-in-part, continued prosecution application or reissue application. § 1.27(c)(4).

I understand that any attempt to establish Small Entity Status improperly, deceptively or fraudulently will be considered a fraud practiced on the USPTO and may result in abandonment of the application or jeopardize the validity and enforceability of any resulting patent. § 1.27(h).

1/14/2004
Date

Signature: 
Name: John M. Campbell
Title: Director of Intellectual Property

The Burnham Institute
10901 North Torrey Pines Road
La Jolla, California 92037



POWER OF ATTORNEY FOR PATENT APPLICATION BY ASSIGNEE

Assignee, The Burnham Institute, is the owner of the entire right, title and interest of U.S. Patent Application Serial No. 10/679,246, filed on October 2, 2003, as attorney docket number 66821-235, and entitled NUCLEIC ACID ENCODING PROTEINS INVOLVED IN PROTEIN DEGRADATION, PRODUCTS AND METHODS RELATED THERETO, and any subsequently filed divisional, continuation, or reissue application, including international and foreign applications claiming priority thereto.

The Assignee hereby appoints the following attorneys to prosecute these applications and to transact all related business in the United States Patent and Trademark Office and any international and foreign patent offices:

CATHRYN CAMPBELL, Registration No. 31,815; DAVID A. GAY, Registration No. 39,200; ANDREA L. GASHLER, Registration No. 41,029; DEBORAH L. CADENA, Registration No. 44,048; ASTRID R. SPAIN, Registration No. 47,956; and PAMELA M. GUY, Registration No. 51,228.

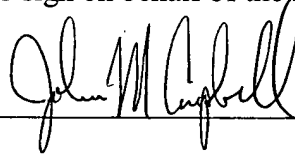
Please direct all telephone calls to Cathryn Campbell at (858) 535-9001 and address all correspondence to:

CATHRYN CAMPBELL
McDERMOTT, WILL & EMERY
4370 La Jolla Village Drive, Suite 700
San Diego, California 92122

Inventors: Reed and Matsuzawa
Serial No.: 10/679,246
Filed: October 2, 2003
Page 2

The undersigned is authorized to sign on behalf of the Assignee.

Signature:



Name (typed):

John M. Campbell

Title:

Director of Intellectual Property

Assignee:

The Burnham Institute

Date:

11/14/2004



STATEMENT UNDER 37 C.F.R. § 3.73(b)

Title of Application: NUCLEIC ACID ENCODING PROTEINS INVOLVED IN
PROTEIN DEGRADATION, PRODUCTS AND
METHODS RELATED THERETO

Application Ser. No.: 10/679,246

Filed: October 2, 2003

Inventor(s): Reed and Matsuzawa

Attorney Client-Matter No.: 66821-235

The Burnham Institute, a non-profit organization, states that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of an assignment from the inventors of the application. A copy of the executed assignment, submitted for recording, is attached hereto as documentary evidence of the chain of title to the assignee.

The undersigned is empowered to sign this statement on behalf of the assignee.

Date:

11/14/2004

Signature:

Name:

John M. Campbell

Title:

~~Director of Intellectual Property~~

The Burnham Institute
10901 North Torrey Pines Road
La Jolla, California 92037

ASSIGNMENT

COPY

This Assignment is made by John C. Reed of Rancho Santa Fe, California, and Shu-ichi Matsuzawa of San Diego, California, Assignors, to The Burnham Institute, Assignee, having a place of business at 10901 North Torrey Pines Road, La Jolla, California.

WHEREAS, Assignors have invented a new and useful NUCLEIC ACID ENCODING PROTEINS INVOLVED IN PROTEIN DEGRADATION, PRODUCTS AND METHODS RELATED THERETO for which an application for United States Letters Patent was filed on October 2, 2003, in the United States Patent and Trademark Office, bearing Serial No. 10/679,246 and identified as Attorney Client-Matter No: 66821-235;

WHEREAS, Assignors believe themselves to be the original inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, the parties desire to have a recordable instrument assigning the entire right, title and interest in and to said invention, said application and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, in accordance with the obligations to assign the invention and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors sell, assign, and transfer to Assignee, the entire right, title, and interest in and to said invention, said application, any applications entitled to benefit of priority to said application under Title 35, United States Code, Sections 120, 121 or 251, which include divisionals, continuations and reissues, and any Letters Patent that may be granted on said invention or these applications in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties, or otherwise.

Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representatives and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for

Inventors: Reed and Matsuzawa
Serial No.: 10/679,246
Filed: October 2, 2003
Page 2

obtaining, sustaining, reissuing, or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording, or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

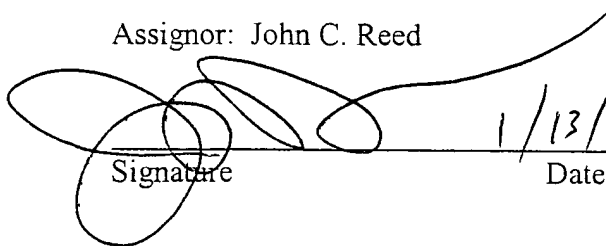
Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request that any United States or foreign Letters Patent granted for said invention, whether on said application or on any subsequently filed divisional, continuation or reissue application, be issued to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

Inventors: Reed and Matsuzawa
Serial No.: 10/679,246
Filed: October 2, 2003
Page 3

IN WITNESS WHEREOF, Assignors have executed this Assignment on the date(s)
provided below.

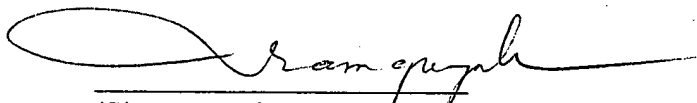
Assignor: John C. Reed

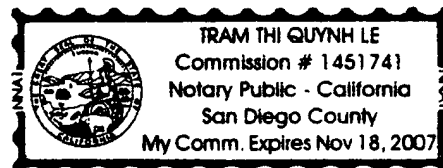

Signature _____ Date 1/13/04

STATE OF California
COUNTY OF San Diego

On Jan 13, 2004 before me, Tram Thi Le personally appeared
John C. Reed, _____ personally known to me - OR - X proved to me on the basis
of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within
instrument and acknowledged to me that he/she/they executed the same in his/her/their
authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or
the entity upon behalf of which the person(s) acted, executed the instrument.

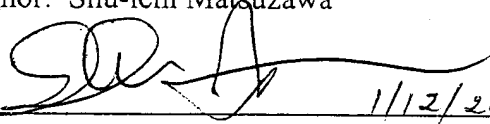
WITNESS by hand and official seal.


(Signature of Notary)



Inventors: Reed and Matsuzawa
Serial No.: 10/679,246
Filed: October 2, 2003
Page 4

Assignor: Shu-ichi Matsuzawa


Signature _____ Date 1/12/2004

STATE OF California
COUNTY OF San Diego

On January 12, 2004, before me, Tram TQ. Le personally appeared
Shu-ichi Matsuzawa, _____ personally known to me - OR - ☒ proved to me on the basis
of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within
instrument and acknowledged to me that he/~~she~~/they executed the same in his/~~her~~/their
authorized capacity(ies), and that by his/~~her~~/their signature(s) on the instrument the person(s), or
the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS by hand and official seal.



(Signature of Notary)

